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PTO/SB/05 (2/98)

Approved for use through 09/30/00. OMB 0651-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Only for new nonprovisional applications under 37 CFR 1.53 (b))

Attorney Docket No. 38-21(51464)B
First Named Inventor or Application Identifier Andersen, Scott E.
Title NUCLEIC ACID MOLECULES AND OTHER MOLECULES ASSOCIATED WITH PLANTS
Express Mail Label No. EK016827205US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (Form PTO-1082)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 92]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R and D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims
- Abstract of the Disclosure
3. ☐ Drawing(s) (35 USC 113) [Total Sheets]
4. ☐ Oath or Declaration [Total Pages 3]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☒ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
a. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Two)
(should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application, status still proper and desired
15. ☐ Certified Copy of Priority Document (s)
(if foreign priority is claimed)
16. ☐ Other:

*NOTE FOR ITEMS 1 and 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28).

If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

17. ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:
Prior Application Information: Examiner: Group/Art Unit:

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below
(Insert Customer No. or attach Bar Code Label here)

| | | | | | |
|---------|---|-----------|----------------|----------|----------------|
| NAME | Lawrence M. Lavin, Jr. | | | | |
| ADDRESS | Patent Department, E2NA; Monsanto Company, 800 N. Lindbergh Boulevard | | | | |
| CITY | St. Louis | STATE | Missouri | ZIP CODE | 63167 |
| COUNTRY | US | TELEPHONE | (314) 694-3602 | FAX | (314) 694-1671 |

| | | | |
|-------------------|------------------------|------------------|-------|
| Name (Print/Type) | Lawrence M. Lavin, Jr. | Registration No. | 30768 |
| Signature | | Date: | |

Burden Hour Statement. This form is estimated to take 2 hours to completed. Time will vary depending on the needs of the individual cases. Any comments on the amount of time you required to completed this form should be sent to the Office of Assistance Quality and Enhancement Division, Patent and Trademark Office, Washington, DC 20231, and to the Office of Information and Regulatory Affairs, Office of Management and Budget (Project 0651-0037), Washington, DC 20503. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL
for FY 1999**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.**TOTAL AMOUNT OF PAYMENT** (\$) 820.00**Complete if Known**

| | |
|----------------------|-------------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | Scott E. Andersen |
| Examiner Name | To Be assigned |
| Group / Art Unit | |
| Attorney Docket No. | 38-21(51464)B |

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-4125Deposit Account Name ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 760 | 201 380 | Utility filing fee | 690.00 |
| 106 310 | 206 155 | Design filing fee | |
| 107 480 | 207 240 | Plant filing fee | |
| 108 760 | 208 380 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$) 690.00**2. EXTRA CLAIM FEES**

| Total Claims | Extra Claims | Fee from below | Fee Paid | |
|--------------------|--------------|----------------|----------|---|
| 10 | -20** = 0 | 18 | 0 | |
| Independent Claims | 3 | -3** = 0 | 78 | 0 |
| Multiple Dependent | | | 0 | |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 103 18 | 203 9 | Claims in excess of 20 | |
| 102 78 | 202 39 | Independent claims in excess of 3 | |
| 104 260 | 204 130 | Multiple dependent claim, if not paid | |
| 109 78 | 209 39 | ** Reissue independent claims over original patent | |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) (\$) 0.00**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 0.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet. | 0.00 |
| 139 130 | 139 130 | Non-English specification | 0.00 |
| 147 2,520 | 147 2,520 | For filing a request for reexamination | 0.00 |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | 0.00 |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | 0.00 |
| 115 110 | 215 55 | Extension for reply within first month | 0.00 |
| 116 380 | 216 190 | Extension for reply within second month | 0.00 |
| 117 870 | 217 435 | Extension for reply within third month | 0.00 |
| 118 1,360 | 218 680 | Extension for reply within fourth month | 0.00 |
| 128 1,850 | 228 925 | Extension for reply within fifth month | 0.00 |
| 119 300 | 219 150 | Notice of Appeal | 0.00 |
| 120 300 | 220 150 | Filing a brief in support of an appeal | 0.00 |
| 121 260 | 221 130 | Request for oral hearing | 0.00 |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | 0.00 |
| 140 110 | 240 55 | Petition to revive - unavoidable | 0.00 |
| 141 1,210 | 241 605 | Petition to revive - unintentional | 0.00 |
| 142 1,210 | 242 605 | Utility issue fee (or reissue) | 0.00 |
| 143 430 | 243 215 | Design issue fee | 0.00 |
| 144 580 | 244 290 | Plant issue fee | 0.00 |
| 122 130 | 122 130 | Petitions to the Commissioner | 130.00 |
| 123 50 | 123 50 | Petitions related to provisional applications | 0.00 |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | 0.00 |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | 0.00 |
| 146 760 | 246 380 | Filing a submission after final rejection (37 CFR § 1.129(a)) | 0.00 |
| 149 760 | 249 380 | For each additional invention to be examined (37 CFR § 1.129(b)) | 0.00 |
| Other fee (specify) _____ | | | 0.00 |
| Other fee (specify) _____ | | | 0.00 |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00**SUBMITTED BY**

| | | | | | |
|-------------------|------------------------|-----------------------------------|----------------|-----------|--------------|
| Name (Print/Type) | Lawrence M. Lavin, Jr. | Registration No. (Attorney/Agent) | 30,768 | Telephone | 314-694-3602 |
| Signature | Lawrence M. Lavin, Jr. | Date | Sept. 21, 2000 | | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

by *Jiansheng Zhao* *Lian S. Zhao*
Reg. No. 41,422

9-22-00

A

JC867 U.S. PTO
09/21/00

Docket No. 38-21(51464)B
Inventors: Scott E. Andersen *et al.*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Jc760 U.S. PTO
09/667188
09/21/00

In re application of:

Scott E. Andersen *et al.*

Appln. No.: To Be Assigned

Filed:

For: Nucleic Acid Molecules and Other
Molecules Associated with Plants

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: 38-21(51464)B

I hereby verify this transmittal together with the patent application referred to below is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 Express Mail Label No. EK016827205US on the date indicated and is addressed to:
Commissioner for Patents, Washington, D.C. 20231

Jian S. Zhou Registration No. 41, 422

Jian S. Zhou Date: Sept. 21, 2000

TRANSMITTAL OF NON-PROVISIONAL PATENT APPLICATION

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Sir:

Transmitted herewith for filing under 37 C.F.R. §1.53(b) is the complete patent application of :

Nucleic Acid Molecules and Other Molecules Associated with Plants

Inventors: Scott E. Andersen

James D. Masucci

00557499-000100

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. Utility Patent Application Transmittal (PTO/SB/05);
2. Form PTO-1082 (in duplicate);
3. U.S. Utility Patent Application entitled:
Nucleic Acid Molecules and Other Molecules Associated with Plants
and naming as inventors:
Scott E. Andersen and James D. Masucci
the application consisting of:
 - a. A specification containing:
 - (i) 89 pages of a description prior to the claims;
 - (ii) 2 pages of claims (10 claims); and
 - (iii) a one (1) page abstract;
4. A CD-ROM containing the Sequence Listing;
5. Petition to Suspend Sequence Rules (in duplicate);
6. Combined Declaration and Power of Attorney, executed by inventors Scott E. ANDERSEN and James D. MASUCCI (3 pages);
7. An Information Disclosure Statement;
8. Form PTO-1449 (1 page), with 8 accompanying documents; and
9. Two (2) return postcards.

It is respectfully requested that the two attached prepaid postcards be stamped with the filing date and unofficial application number and returned as soon as possible.

Respectfully submitted,

Liansheng Zhu

Lawrence M. Lavin, Jr., Esq (Reg. No. 30,768)

Jian S. Zhou (Reg. No. 41,422)

Enclosures

Date: Sept. 21, 2000

Patent Department, E2NA
Monsanto Company
800 N. Lindbergh Boulevard
St. Louis, MO 63167
Tel: 636-694-3602
Fax: 636-694-1671

| Year | 1970 | 1971 | 1972 | 1973 | 1974 | 1975 | 1976 | 1977 | 1978 | 1979 | 1980 | 1981 | 1982 | 1983 | 1984 | 1985 | 1986 | 1987 | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 | 2024 | 2025 | 2026 | 2027 | 2028 | 2029 | 2030 | 2031 | 2032 | 2033 | 2034 | 2035 | 2036 | 2037 | 2038 | 2039 | 2040 | 2041 | 2042 | 2043 | 2044 | 2045 | 2046 | 2047 | 2048 | 2049 | 2050 | 2051 | 2052 | 2053 | 2054 | 2055 | 2056 | 2057 | 2058 | 2059 | 2060 | 2061 | 2062 | 2063 | 2064 | 2065 | 2066 | 2067 | 2068 | 2069 | 2070 | 2071 | 2072 | 2073 | 2074 | 2075 | 2076 | 2077 | 2078 | 2079 | 2080 | 2081 | 2082 | 2083 | 2084 | 2085 | 2086 | 2087 | 2088 | 2089 | 2090 | 2091 | 2092 | 2093 | 2094 | 2095 | 2096 | 2097 | 2098 | 2099 |
|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 1970 | 1971 | 1972 | 1973 | 1974 | 1975 | 1976 | 1977 | 1978 | 1979 | 1980 | 1981 | 1982 | 1983 | 1984 | 1985 | 1986 | 1987 | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 | 2024 | 2025 | 2026 | 2027 | 2028 | 2029 | 2030 | 2031 | 2032 | 2033 | 2034 | 2035 | 2036 | 2037 | 2038 | 2039 | 2040 | 2041 | 2042 | 2043 | 2044 | 2045 | 2046 | 2047 | 2048 | 2049 | 2050 | 2051 | 2052 | 2053 | 2054 | 2055 | 2056 | 2057 | 2058 | 2059 | 2060 | 2061 | 2062 | 2063 | 2064 | 2065 | 2066 | 2067 | 2068 | 2069 | 2070 | 2071 | 2072 | 2073 | 2074 | 2075 | 2076 | 2077 | 2078 | 2079 | 2080 | 2081 | 2082 | 2083 | 2084 | 2085 | 2086 | 2087 | 2088 | 2089 | 2090 | 2091 | 2092 | 2093 | 2094 | 2095 | 2096 | 2097 | 2098 | 2099 | |

PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

04/18/2001 YGIZAW 00000001 134125 09667188
01 FC:101 690.00 CH

PTO-1556
(5/87)